

## STATEMENT REGARDING SMALL ENTITY STATUS

Attorney Docket No. UPT-004

Applicant, Patentee, or Identifier: **Lotze**Application or Patent No.: **10/688,845**Date Filed or Issued: **October 15, 2003**Title: **METHODS AND REAGENTS FOR INDUCING IMMUNITY**NAME OF SMALL BUSINESS OR NONPROFIT ORGANIZATION: University of PittsburghADDRESS OF SMALL BUSINESS OR NONPROFIT ORGANIZATION: 200 Gardner Steel Conference Center,  
Thackeray and O'Hara Streets, Pittsburgh, PA 15260

I hereby state that the above identified small business concern or nonprofit organization qualifies as a small entity as defined in 37 CFR 1.27 for purposes of paying reduced fees to the United States Patent and Trademark Office. For a small business concern, the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern or nonprofit organization identified above with regard to the invention described in:

- ☒ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern or nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must execute separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.27(a)(1) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.27(a)(2), or a nonprofit organization under 37 CFR 1.27(a)(3).

- ☒ No such person, concern, or organization having any rights in the invention exists.  
☐ Each such person, concern, or organization having any rights in the invention is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate.

NAME OF PERSON SIGNING Christopher C. Capelli, M.D.TITLE OF PERSON SIGNING Director, Office of Technology ManagementADDRESS OF PERSON SIGNING 200 Gardner Steel Conference Center Pittsburgh, PA 15260SIGNATURE 

DATE

2/17/04